

16523 U.S. PTO  
012604

PTO/SB/05 (01-04)

Approved for use through 07/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office. U.S. DEPARTMENT OF COMMERCE

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<b>UTILITY PATENT APPLICATION TRANSMITTAL</b>  <i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i>	Attorney Docket No.	03-10-2151
	First Inventor	TSAI, David
	Title	Alpha 1-Acid Glycoprotein
	Express Mail Label No.	EV 192360124 US

<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents.	<b>ADDRESS TO:</b> Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria VA 22313-1450
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1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <i>(Submit an original and a duplicate for fee processing)</i> 2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. 3. <input checked="" type="checkbox"/> Specification [Total Pages <u>73</u> ] <i>(preferred arrangement set forth below)</i> - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <u>21</u> ] 5. Oath or Declaration [Total Sheets <u>2</u> ] a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 18 completed)</i> i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) name in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b). 6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 8. Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i> a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input checked="" type="checkbox"/> Paper c. <input checked="" type="checkbox"/> Statements verifying identity of above copies <b>ACCOMPANYING APPLICATION PARTS</b> 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input checked="" type="checkbox"/> Power of <i>(when there is an assignee)</i> Attorney 11. <input type="checkbox"/> English Translation Document <i>(if applicable)</i> 12. <input type="checkbox"/> Information Disclosure <input type="checkbox"/> Copies of IDS Statement (IDS)/PTO-1449 Citations 13. <input checked="" type="checkbox"/> Preliminary Amendment 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i> 15. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i> 16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. 17. <input checked="" type="checkbox"/> Other: Certificate of Express Mail.....
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18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No.: 10/267,706

Prior application information: Examiner \_\_\_\_\_ Art Unit: 1627

For CONTINUATION OR DIVISIONAL APPS only; The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

☒ Customer Number: 23388 OR ☐ Correspondence address below

Name			
Address			
City	State	Zip Code	
Country	Telephone	Fax	

Name (Print/Type)	Roy A. Kim	Registration No. (Attorney/Agent)	51,883
Signature		Date	01/26/2004

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 772.00

## Compleat if Known

Application Number  
Filing Date  
First Named Inventor **TSAI, David**  
Examiner Name  
Art Unit  
Attorney Docket No. **03-10-2151**

### METHOD OF PAYMENT (check all that apply)

☐ Check ☒ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number **500703**  
Deposit Account Name **TROJAN LAW OFFICES**

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	385
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$ ) 385

#### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims **17** -20\*\* = **0** X **0** = **0**  
Independent Claims **12** -3\*\* = **9** X **43** = **387**  
Multiple Dependent **0** X **0** = **0**

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>
<u>Fee Code</u>	<u>Fee (\$)</u>	<u>Fee Code</u>	<u>Fee (\$)</u>	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

\*\*or number previously paid, if greater; For Reissues, see above

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 0.00

### SUBMITTED BY

(Complete (if applicable))

Name (Print/Type) **Roy A Kim**

Registration No. **51,883**  
(Attorney/Agent)

Telephone **310-777-8399**

Signature

Date **01/26/2004**

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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R. Joseph Trojan  
Joyce E. Crucillo  
John R. Carr  
Roy A. Kim  
Jessica J. Slusser  
Dylan C. Dang

Of Counsel  
J. Nicholas Gross

Rexford Plaza  
9250 Wilshire Boulevard  
Suite 325  
Beverly Hills, California 90212  
www.trojanlawoffices.com

Patent, Trademark, Copyright  
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Telephone (310) 777-8399  
Telecopier (310) 777-8348  
trojanlaw@aol.com

January 26, 2004

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

VIA EXPRESS MAIL (EV 192360124 US)

Re: U.S. CIP Patent Application for Alpha 1-Acid  
Glycoprotein, Alpha 2-HS Glycoprotein, Alpha 1-  
Antitrypsin, and Fragments Thereof Induce  
Apoptosis in Cancer Cell Lines.  
Priority to Serial No. 10/267,706 (filed 10/08/2002)  
Serial No.: not assigned (filing date: not assigned)  
Inventor: David Tsai  
Attorney Docket No. 03-10-2151

Dear Madam/Sir:

Please find enclosed the following documents for a new U.S. CIP Application:

1. Credit Card Payment Form \$772.00 (1 page);
2. Utility Patent Application Transmittal (1 page);
3. Fee Transmittal Form (1 page/1 copy);
4. Declaration of Inventor (2 pages);
5. Power of Attorney (1 page);
6. Specification with 19 claims (73 pages);
7. Drawings (21 pages);
8. Sequence Listing (2 pages);
9. Statement Pursuant to 37 CFR 1.821(e)(2 pages);
10. Return Receipt Postcard (1 page);
11. Certificate of Mailing by Express Mail (1 page); and
12. Cover Letter (1 page).

If any additional fees are required, please deduct the required amounts from Deposit  
Account No. 500703 (Trojan Law Offices).

Very truly yours,

TROJAN LAW OFFICES

by



Roy A. Kim  
Reg. No. 51,883

Enclosures  
Cc: Dr. Tsai

CERTIFICATE OF MAILING (37 C.F.R. 1.8(a))

I hereby certify that attached correspondence:

1. Credit Card Payment Form \$772.00 (1 page);
2. Utility Patent Application Transmittal (1 page);
3. Fee Transmittal Form (1 page/1 copy);
4. Declaration of Inventor (2 pages);
5. Power of Attorney (1 page);
6. Specification with 19 claims (73 pages);
7. Drawings (21 pages);
8. Sequence Listing (2 pages);
9. Statement Pursuant to 37 CFR 1.821(e)(2 pages);
10. Return Receipt Postcard (1 page);
11. Certificate of Mailing by Express Mail (1 page); and
12. Cover Letter (1 page).

is being deposited with the U.S. Postal Service, First Class Mail postage prepaid, pursuant to 37 C.F.R. 1.8(a) and is addressed to:

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

on January 26, 2004,

for U.S. CIP Patent Application for "Alpha 1-Acid Glycoprotein, Alpha 2-HS Glycoprotein, Alpha 1-Antitrypsin, and Fragments Thereof Induce Apoptosis in Cancer Cell Lines"; Inventor: Tsai; Attorney Docket No. 03-10-2151.

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Roy A. Kim (51,883)